

Best Available Copy

Express Mail No. _____ Docket No. PC 7180A By EEF
Pat. No. 4,831,031 Filing Date May 16, 1989
Serial No. _____
Application of John A. Lowe, III, et al
Entitled ARYL PIPERZINYL-(C₁ or C₄) ALKYLENE-
HETEROCYCLIC COMPOUNDS HAVING NEUROLEPTIC
ACTIVITY
The following, due _____ in the U.S. Patent Office, has been received there on
the date stamped hereon:

<input type="checkbox"/> Specification _____ pages	<input type="checkbox"/> Certification 37 CFR 3.73(b)
<input type="checkbox"/> Claims _____ pages	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Abstract _____ pages	<input type="checkbox"/> Amendment
<input type="checkbox"/> Drawing(s) _____ sheets	<input type="checkbox"/> Brief (3 copies)
<input type="checkbox"/> Declaration with <input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Letter
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Petition for Extension of Time
<input type="checkbox"/> Letter of Transmittal	<input type="checkbox"/> PTO-1390 (DO/EO/US) _____ pages
<input type="checkbox"/> USPS Certificate of Mailing	<input type="checkbox"/> Priority Document
<input type="checkbox"/> Disclosure Statement _____ References	<input checked="" type="checkbox"/> <u>Reg. to Cert. of Correction</u>
<input type="checkbox"/> Issue Fee Transmittal	<input checked="" type="checkbox"/> <u>Form PTO-1090</u>
<input type="checkbox"/> Fee Address Indication Form	<input type="checkbox"/> _____
<input type="checkbox"/> Affidavit <input type="checkbox"/> Declaration <input type="checkbox"/> Oath	<input type="checkbox"/> _____

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:
JOHN A LOWE, III, ET AL.

PATENT NO.: 4,831,031

ISSUED: MAY 16, 1989

FOR: ARYL PIPERAZINYL-(C₂ OR C₄)
ALKYLENE HETEROCYCLIC COMPOUNDS
HAVING NEUROLEPTIC ACTIVITY

Assistant Commissioner for Patents
Washington, D.C. 20231
Sir:

REQUEST FOR CERTIFICATE OF CORRECTION

PFIZER INC., assignee of 100% interest on the above-identified patent, requests issuance of a Certificate of Correction, pursuant to 37 C.F.R. §1.322, in connection with the above-identified patent. The error to be corrected is set forth as described in a Form PTO-1050, which is attached hereto in duplicate.

The error is the failure to list on the face of the above-identified patent International Application No. PCT/US87/00423 filed March 2, 1987 from which priority was claimed. The failure to list International Application No. PCT/US87/00423 and the acknowledged the priority claim thereto on the face of the above-identified patent occurred through the fault of the United States Patent and Trademark Office (See, the reference to the international application and priority claim thereto on the filing receipts for the U. S. Application that issued as the above patent, copies of which are attached). A copy of the relevant assignment documents are also attached hereto confirms that Pfizer Inc. is the assignee of 100% interest in the patent.

Because the error described above was the fault of the United States Patent and Trademark Office and, thus, correction thereof is under 37 C.F.R. §1.322, it is believed that no fee is due for issuance of the Certificate of Correction. . However, if any fee is required under 37 C.F.R. §1.20, authorization is provided to charge the appropriate fee to Pfizer Deposit Account No. 16-1445. Two

copies of this letter are enclosed.

Respectfully submitted,

Dated: _____

PAUL H. GINSBURG
ATTORNEY for Applicants
Reg. No. **28,718**

Pfizer Inc.
Patent Department, 20th Floor
235 East 42nd Street
New York, NY 10017-5755
(212) 573-**2369**

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO : 4,831,031
DATED : May 16, 1987
INVENTOR(S) : John A. Lowe, III, et al.

It is certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

On the first page, left column, the patent should state that U.S. Application Serial No. 07/146,886, filed January 22, 1988 is a continuation-in-part of PCT No. PCT/US87/00423 filed March 2, 1997.

MAILING ADDRESS OF SENDER:

Pfizer Inc.
Patent Department
235 East 42nd Street
New York, NY 10017-5755

PATENT NO. 4,831,031

No. of additional copies

Burden Hour Statement: This form is estimated to take 1.0 hour to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

(Also Form PTO-1050)

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO : 4,831,031
DATED : May 16, 1987
INVENTOR(S) : John A. Lowe, III, et al.

It is certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

On the first page, left column, the patent should state that U.S. Application Serial No. 07/146,886, filed January 22, 1988 is a continuation-in-part of PCT No. PCT/US87/00423 filed March 2, 1997.

MAILING ADDRESS OF SENDER:

Pfizer Inc.
Patent Department
235 East 42nd Street
New York, NY 10017-5755

PATENT NO. 4,831,031

No. of additional copies

Burden Hour Statement: This form is estimated to take 1.0 hour to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL	EE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
07/146,886	01/22/88	1611		\$340.00	PC7180A	0	13	1

PETER C. RICHARDSON
PFIZER INC.
235 EAST 42ND STREET
NEW YORK NY 10017-5755

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) JOHN A. LOWE III, STONINGTON, CT; ARTHUR A. NAGEL, GALES FERRY, CT; HARRY A. HOWARD JR., BRISTOL, CT.

FOREIGN APPLICATIONS- PCT

PCT/US87/00423 03/02/87

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 03/21/88
TITLE

ARYL PIPERAZINYL-(C2 OR C4)ALKYLENE HETEROCYCLIC COMPOUNDS HAVING
NEUROLEPTIC ACTIVITY

PRELIMINARY CLASS: 514

OCT 08 1999

DATA ENTRY BY: DE LOATCH, PHYLLIS TEAM: 12 DATE: 09/09/99

(See reverse for new important information)

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
 Patent and Trademark Office
 ASSISTANT SECRETARY AND COMMISSIONER
 OF PATENTS AND TRADEMARKS
 Washington, D.C. 20231

SERIAL NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
07/146,886	01/22/88	122	\$ 340.00	PC 7180A	0	13	1

PETER C. RICHARDSON
 PFIZER INC.
 235 EAST 42ND STREET
 NEW YORK, NY 10017-5755

PFIZER INC

APR 12 1988

PATENT

Receipt is acknowledged of the patent application identified herein. It will be considered in its order and you will be notified as to the examination thereof. Be sure to give the U.S. SERIAL NUMBER, DATE OF FILING, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this transmittal.

Applicant(s)

JOHN A. LOWE III, STONINGTON, CT; ARTHUR A. NAGEL,
 GALES FERRY, CT.

FOREIGN/PCT APPLICATIONS-PCT

PCT/US87/00423 03/02/87

FOREIGN FILING LICENSE GRANTED 03/21/88


TITLE
 PIPERAZINYL-HETEROCYCLIC COMPOUNDS

PRELIMINARY CLASS: 548

PLEASE SEND TO:

PCR	_____	HWO	_____
LCA	_____	AJS	_____
BMC	_____	ECS	_____
MD	_____	IFS	_____
PHO	_____	RCT	_____
CH	_____	CCS	_____
CHJ	_____	IMS	_____
JLL	_____	AET	_____
JTL	_____	JACI	_____

(see reverse)

FORM PTO-1595 1-31-92		RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. DEPARTMENT OF COMMERCE Patent and Trademark	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof					
1. Name of conveying party(ies): John A. Lowe, III Arthur A. Nagel and Harry R. Howard, Jr. Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			2. Name and address of receiving party(ies): Name: <u>Pfizer Inc</u> Street Address: <u>235 East 42nd Street, 20th Floor</u> City: <u>New York</u> State: <u>New York</u> ZIP: <u>10017-5755</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: <u>September 16, 1998</u>			<div style="text-align: right; font-size: small;">RECEIVED SEP 17 1998 COMM. OF PAT. & TRADEMARKS</div>		
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: A. Patent Application No.(s) B. Patent No. (s) <div style="text-align: right;">US 4,831,031</div> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed: Paul H. Ginsburg, Pfizer Inc., 235 East 42nd Street, New York, NY 10017-5755.			6. Total number of pages including cover sheet, attachments and document: 4 7. Total fee (37 CFR 3.41)\$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account		
			8. Deposit account number: <div style="text-align: right;">16-1445</div> (Attach duplicate copy of this page if paying by deposit account)		
			DO NOT USE THIS SPACE		
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>					
B. Timothy Creagan Name of Person Signing		 Signature		February 16, 1999 Date	
Total number of pages including cover sheet: 4					
OMB No. 0651-0011 (exp. 4/94)					
Do not detach this portion					
Mail documents to be recorded with required cover sheet information to: <div style="text-align: center;"> Commissioner of Patents and Trademarks Box Assignments Washington, D.C. 20231 </div>					
Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.					

A S S I G N M E N T

For valuable consideration, the receipt and adequacy of which is hereby acknowledged, we, John A. Lowe, III; Arthur A. Nagel and Harry R. Howard; of 28 Coveside Lane, Stonington, Connecticut; 66 Inchcliffe Drive, Gales Ferry, Connecticut; and 272 Westwoods Terrace, Bristol, Connecticut; respectively, hereby sell, assign and transfer unto PFIZER INC., a corporation organized and existing under the laws of the State of Delaware, United States of America, and having its principal place of business at 235 East 42nd Street, New York, New York 10017, United States of America, our entire right, title and interest, except as limited hereinbelow, in and to provisional patent application of the United States of America, having PFIZER INC. Docket No. PC7180A issuing as US 4,831,031, and entitled **ARYL PIPERAZINYL(C₂ OR C₄)ALKYLENE HETEROCYCLIC COMPOUNDS HAVING NEUROLEPTIC ACTIVITY**; and our entire right, title and interest, in the United States of America, in and to all our inventions, whether joint or sole, disclosed in said provisional patent application; and our entire right, title and interest in and to all applications filed in the United States of America for Letters Patent for any or all of said inventions; and our entire right, title and interest in and to all Letters Patent granted in the United States of America on the foregoing applications;

and we hereby sell, assign and transfer unto PFIZER PRODUCTS INC., a corporation organized and existing under the laws of the State of Connecticut, United States of America, and having its place of business at Eastern Point Road, Groton, Connecticut 06340, United States of America, our entire right, title and interest, in all countries of the world except the United States of America, in and to all our inventions, whether joint or sole, disclosed in said provisional patent application; and our entire right, title and interest in and to all patent applications filed outside the United States of

America for Letters Patent for any or all of said inventions; and our entire right, title and interest in and to all Letters Patent granted outside the United States of America on said patent applications filed outside the United States of America; and the right to claim priority from said provisional patent application under the Paris Convention for the Protection of Industrial Property, and under any and all other such treaties and agreements to which the United States of America is a party and which afford similar priority-claiming privileges, in all countries of the world except the United States of America;

and we hereby agree, whenever requested, to communicate to said PFIZER INC. and said PFIZER PRODUCTS INC., and their successors and assigns, any facts known to us respecting said inventions, to testify in any legal proceeding respecting said inventions, and to execute all applications or papers necessary to obtain and maintain proper patent protection on said inventions in all countries of the world.

Signed and witnessed this 1st day of April, 1981, at
Greenfield

John A. Lowe, III
John A. Lowe, III

In the presence of:

Barbara J. [Signature]

Barbara J. [Signature]
(Typed or Printed Name of Witness)

Signed and witnessed this 16th day of September, 1998 at
Groton, CT

Arthur A. Nagel
Arthur A. Nagel

In the presence of:

Stanley Jung
Stanley Jung
(Typed or Printed Name of Witness)

Signed and witnessed this 16th day of September, 1998, at
Groton, CT

Harry R. Howard
Harry R. Howard

In the presence of:

Maivis Adam
Maivis Adam
(Typed or Printed Name of Witness)

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

1988
PATIENT DEPT

TO: PETER C. RICHARDSON
PFIZER INC.
235 EAST 42ND STREET
NEW YORK, NY 10017-5755

P.C. 7180A

PLEASE SEND TO:

PCR	_____	HWO	_____
LCA	_____	AJS	_____
BMC	_____	EOS	_____
MD	_____	RFS	_____
PHG	_____	RCT	_____
GL	_____	CCB	_____
JL	_____	RMB	_____
JTL	_____	AEF	_____
	_____	JCM	_____

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE U.S. PATENT AND TRADEMARK OFFICE ON THE REEL AND FRAME NUMBER REFERENCED BELOW. A DIGEST OF THE DOCUMENT HAS ALSO BEEN MADE AND APPEARS IN THE OFFICE'S RECORDS AS SHOWN:

ASSIGNOR: 001 LOWE, JOHN A. III
ASSIGNOR: 002 NAGEL, ARTHUR A.

DOC DATE: 01/20/88
DOC DATE: 01/20/88

RECORDATION DATE: 01/22/88 NUMBER OF PAGES 001 REEL/FRAME 4876/0784

DIGEST: ASSIGNMENT OF ASSIGNORS INTEREST

ASSIGNEE: 501 PFIZER INC., 235 EAST 42ND STREET, NEW YORK, NY, A CORP.
OF DE

SERIAL NUMBER	7-146886	FILING DATE	01/22/88
PATENT NUMBER		ISSUE DATE	00/00/00

TITLE OF INVENTION: PIPERAZINYL-HETEROCYCLIC COMPOUNDS

INVENTOR: 001 LOWE, JOHN A. III
- INVENTOR: 002 NAGEL, ARTHUR A.

copies of this letter are enclosed.

Respectfully submitted,

Dated: February 28, 2001

Paul H. Ginsburg
PAUL H. GINSBURG
ATTORNEY for Applicants
Reg. No. 28,718

Pfizer Inc.
Patent Department, 20th Floor
235 East 42nd Street
New York, NY 10017-5755
(212) 573-2369

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.